Khor Weizhong, CFA

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# profile

Weizhong has 5 years of investment operations experience with Citigroup Global Markets Singapore (Citi Wealth Advisors) where he has built up a strong foundation in investment operation processes. He has also accumulated extensive knowledge in various asset classes including equities, fixed income, foreign exchange, options, and futures. Responsible for a range of operational functions including trade booking/settlement/reconciliation, collateral monitoring, credit monitoring, account maintenance, tax document processing, funds/asset transfer, corporate actions processing, external fund manager account processing, alternative investment processing, he is constantly driving process improvements to streamline work processes and enhance productivity. Proficient in both English and Mandarin, he has demonstrated ability to work with people of various levels, regions, and time zones, both internally and externally, often within tight deadlines to resolve work related issues. Weizhong is currently exploring other opportunities where he can build on his prior experiences to add value to his new firm.

# Education

CFA Institute

CFA Charterholder 2013 – 2016

Royal Melbourne Institute of Technology

Bachelor of Business (Management) 2009 - 2012

* Major in Finance
* Graduate with Distinction

# Experience

Citigroup Global Markets Singapore (Citi Wealth Advisors)

Investment Operations Associate 2012 – Present (5 years)

* Managing all operational aspects of accounts to be managed by external fund managers including conversion and subsequent account maintenance, processing termination and liquidation requests, processing incoming/outgoing account transfer from/to another brokerage with similar fund manager relationship
* Working with investment manager research team and due diligence team to communicate to front office the identification of external fund manager that will be terminated due to poor performance and to switch to another recommended manager with similar investment strategies, and to perform the necessary transition activities
* Trade processing (booking/correction/reconciliation) for multiple markets/products (Equities, Fixed Income) in custodian system
* Liaising with custodian (Pershing) and counterparties to facilitate timely trade settlements (Equities, Fixed Income)
* Liaising with trading desk and counterparties to resolve trade discrepancies timely and avoid break and fail trade
* Liaising with Front and Back offices to process corporate actions events timely including optional dividend, tender offer, exchange offer, rights subscription, merger & acquisition
* Collateral monitoring and issuing of margin call (fed/house/exchange) notices to front office as part of the collateral monitoring unit, and daily management margin reporting
* Calculating margin requirements and collecting funds due to cover fed calls, house calls and exchange calls within acceptable timeframe
* Working with Bankers to devise regularization options to propose to clients, which may include liquidation of assets, funds transfer, and assets transfer
* Bringing margin accounts into legal compliance when violations have occurred
* Performing impact analysis for accounts affected by higher house requirements due to concentration rules or security's credit review
* Liaising with front office and credit team to determine the appropriate loan value (LV) for non-US equities/fixed income using approved methodologies
* Performing business-level cross border credit review based on specific list of countries to ensure total credit exposures are within allocated business's credit limit
* Performing credit monitoring of accounts to ensure all are within default trading limit and liaise with front office to obtain credit approval for accounts in breach, subsequently monitor for annual renewal
* Managing all operational aspects of alternative investments (Hedge Funds/Private Equity/Real Estate) including processing subscription and redemption requests, issuing of capital calls and distribution notices to front office, account maintenance including update of quarterly fund valuations
* Processing fund/asset transfers according to bank's policies/procedures and regulatory requirements
* Processing tax documents such as W8 and W9 to ensure accounts are certified in a timely manner and reverse any tax withholding
* Participating in initiatives to drive process improvements within functional areas, such as utilizing excel macros to automate repetitive tasks